



NASA Procedural Requirements

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COMPLIANCE IS MANDATORY[Printable Format \(PDF\)](#)

Request Notification of Change

(NASA Only)

Subject: NASA Environmental Compliance and Restoration (ECR) Program**Responsible Office: Environmental Management Division**[| TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [Chapter6](#) | [Chapter7](#) |
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Chaper 5. ECR Program Funding

5.1 Budget Formulation Via The Planning, Programming, Budgeting, And Execution System (PPBE)

5.1.1 Purpose

To provide the Office of Program Analysis and Evaluation (PA&E) and the Office of the Chief Financial Officer (OCFO) with updated information on prior and current fiscal years and input for development of NASA's five-year budget requests consistent with the requirements, roles, and responsibilities established by NASA FMR Volume 4, Planning, Programming, Budgeting, and Execution.

5.1.2 Requirements

- a. PPBE submissions will be developed in accordance with FMR Volume 4 and include only requests that can reasonably be executed and requests that cannot be deferred due to schedules in compliance agreements and the Center/Component Facility objectives and targets.
- b. PPBE submissions shall represent appropriate projects as defined in section 1.2.
- c. PPBE submissions shall distinguish between restoration projects and EMI projects (e.g., capital compliance, environmental management, and sustainability projects).
- d. PPBE submissions shall be acceptable in terms of:
 - (1) Scope -- projects shall be properly fundable under ECR.
 - (2) Costs -- restoration projects costs shall be justified by their IDEAL estimates.

5.1.3 Roles and Responsibilities

5.1.3.1 NASA Headquarters Environmental Management Division

The Headquarters EMD is responsible for:

- a. Providing ECR Program guidance to Centers/Component Facilities in the second quarter of the fiscal year to support FMR Volume 4 PPBE requirements and annual guidance issued by PA&E and OCFO.
- b. Reviewing Center/Component Facility submittals for acceptability.
- c. Negotiating submittals with the CEMOs.
- d. Developing guidelines for budget year.
- e. Determining project priorities.
- f. Presenting final PPBE submission to the NASA Environmental Management Panel.
- g. Providing final PPBE submission to the OCFO.
- h. Presenting the ECR budget to NASA Operations Management Council.

5.1.3.2 NASA Center/Component Facility Environmental Management Office

The CEMO is responsible for:

- a. Nominating project(s) for the budget period in accordance with PPBE guidance.
- b. Responding to questions and negotiating PPBE submittals with the Headquarters EMD.

5.2 Spend Plan

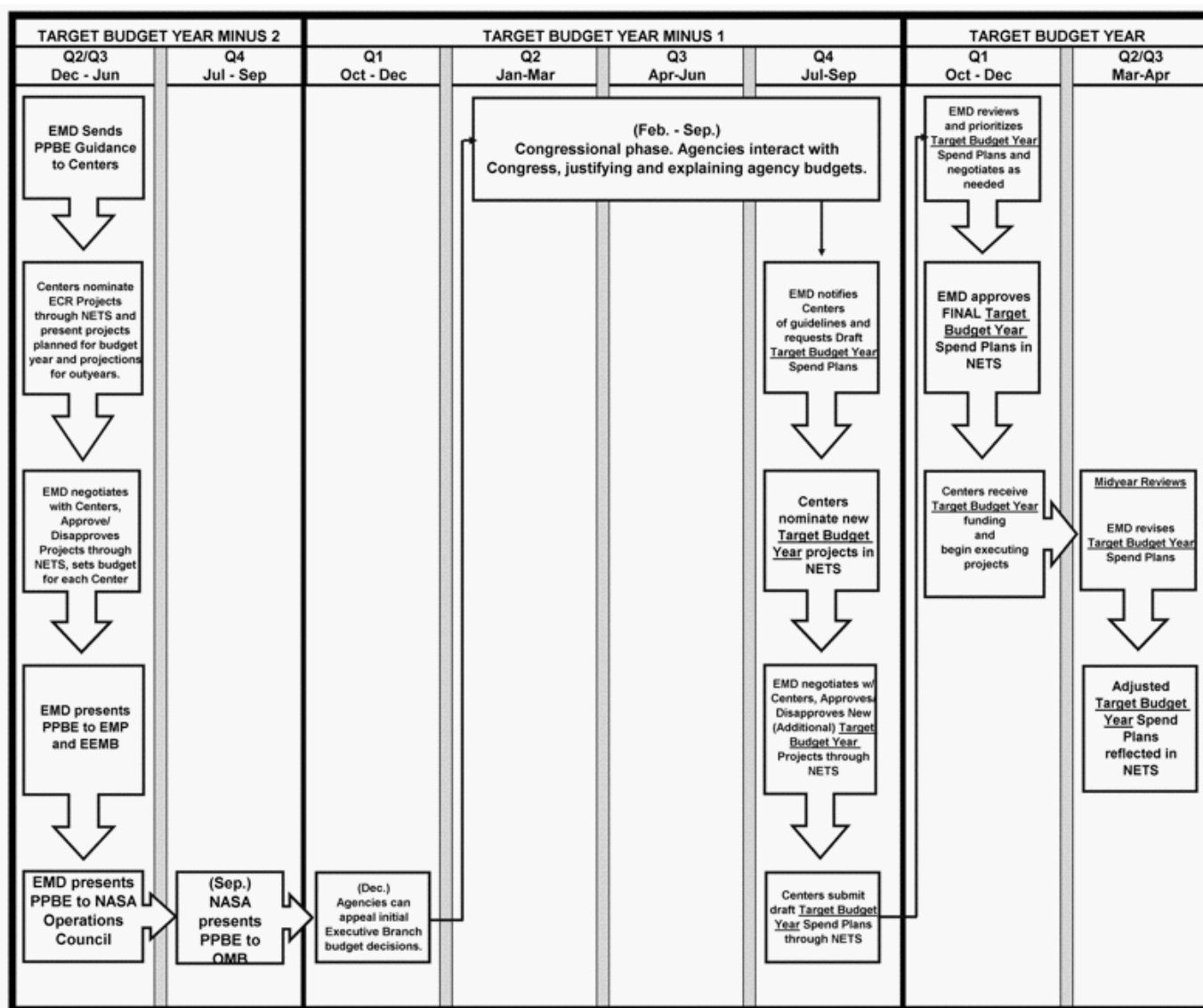
5.2.1 Purpose

To determine Center/Component Facility budget authority for upcoming fiscal year (plus six subsequent years) and to manage available funds over approved projects. See the following Figure 5-1, Funding Time-Line for details.

5.2.2 Requirements

Budget Execution Spend Plan Requirements are as follows:

- The Spend Plan shall not exceed the total ECR funding guideline amounts allocated to the Center/Component Facility.
- All restoration projects in the Spend Plan shall have an IDEAL cost estimate and the required NETS data.
- Each Center/Component Facility Spend Plan shall reflect amounts uncommitted/carried over from the prior year. Funds not committed by the end of the fiscal year (September 30) will be treated as a dollar-for-dollar advance on the next year's funding. That effective reduction may be restored, but shall compete with other program requirements for available funding.
- The CEMO has the authority to move approved restoration funds across approved restoration projects without seeking the Headquarters EMD permission. The CEMO, however, shall seek the Headquarters EMD permission to move approved EMI funds across approved EMI projects, apply restoration funds to EMI projects, or apply EMI funds to restoration projects.
- A midyear review will be conducted by the Headquarters EMD to afford an opportunity to reallocate ECR funding (e.g., across Centers/Component Facilities) to respond to events that were not anticipated when the Spend Plans were developed and approved. To perform this function, current data will be required regarding each Center's/Component Facility's progress in using approved funds, latest spending plans, potential for unspent funds, and/or need(s) for additional funds.



Note: Budget time line is intended to identify the budget process for the "TARGET BUDGET YEAR" above. Activities for Q1 of TARGET BUDGET YEAR MINUS 2 are not listed as there are no such activities associated with planning for the TARGET YEAR BUDGET. Throughout the time line listed above, there will be overlapping budget activities taking place for those budget years preceeding and following the TARGET BUDGET YEAR.

Figure 5-1 Funding Time-Line

5.2.3 Roles and Responsibilities

5.2.3.1 NASA Headquarters Environmental Management Division

The Headquarters EMD is responsible for:

- a. Issuing a call for Center/Component Facility Spend Plans for the upcoming fiscal year.
- b. Reviewing Centers/Component Facilities draft Spend Plans for current year, plus five budget years.
- c. Preparing a fiscal year-end report for each Center/Component Facility that includes:
 - (1) Spend Plan targets (Restoration and EMI projects) for the completed fiscal year.
 - (2) Total amounts committed and uncommitted amounts carried over.
- d. Meeting with Centers/Component Facilities after the start of the new fiscal year to review progress during the just-completed fiscal year, status of major projects, and upcoming changes in priorities and funding levels for the new fiscal year.
- e. Negotiating funding levels with the CEMO and signing final Spend Plan Agreements for the new fiscal year.
- f. Preparing required documents to issue funds on the approved Spend Plans after the Federal budget has been enacted and funds have been made available to the Agency.
- g. Responding to Center/Component Facility requests during the fiscal year to move funds between restoration and EMI projects that requires approval and a modification to the Spend Plan.
- h. Reviewing Spend Plan execution progress at midyear with the CEMO or designated Restoration Project Managers and adjusting the Spend Plan accordingly, including conforming changes in NETS.

5.2.3.2 NASA Center/Component Facility Environmental Management Office

The CEMO is responsible for:

- a. Submitting a draft Spend Plan during the last quarter of the current fiscal year for the upcoming fiscal year via NETS (see NETS requirements in Chapter 5) that fits within the total requirements cap (fundable amount) and includes anticipated carryovers from the current fiscal year.
- b. Responding to the Headquarters EMD questions about the draft Spend Plan.
- c. Meeting with the Headquarters EMD after the start of the new fiscal year to review progress during the just-completed fiscal year, status of major projects, and upcoming changes in priorities and funding levels for the new fiscal year.
- d. Negotiating funding levels with the Headquarters EMD and signing the final Spend Plan Agreement for the new fiscal year.
- e. Justifying any requests during the fiscal year to move funds between restoration and EMI projects that require a modification to the Spend Plan.
- f. Meeting with the Headquarters EMD for the midyear review to discuss Spend Plan execution progress for that fiscal year and the desirability of adjusting the Spend Plan.
- g. Managing funds within approved restoration projects to maintain Center/Component Facility compliance with required project/compliance schedules and accomplish Center/Component Facility environmental objectives and targets.
- h. Revisiting Spending Plans for the current year during the third quarter of the fiscal year, determining progress at each site, and the potential for unspent funds with the Center/Component Facility ECR Program Manager.
- i. Preparing a draft Spend Plan for the upcoming fiscal year for each site through NETS, using IDEAL for estimating project costs.
- j. Documenting annual spending at fiscal year-end, project status, and changes in project cost estimates, using IDEAL for estimating project costs.
- k. Responding to Spend Plan data/update calls from Headquarters as received.

5.3 NASA Environmental Tracking System (NETS)

5.3.1 Purpose

NETS supports the ECR Program by allowing Centers/Component Facility Environmental Offices to enter data for ECR projects and Spend Plans. NETS also enables the Headquarters EMD to approve/disapprove projects nominated by the Centers/Component Facilities and to formalize an agreement on Spend Plans.

5.3.2 Requirements

- a. Proposed/nominated projects (restoration or other) shall be entered into NETS with anticipated start and completion dates, a cost estimate (using IDEAL for restoration projects), a description, an environmental justification, and any other required information.
- b. The final part of the project work breakdown structure (WBS) shall be entered only after the Headquarters EMD has approved the project.
- c. The cost estimate for restoration projects in NETS shall correctly reflect the latest IDEAL cost estimate.
- d. The CEMO shall submit draft Spend Plans via NETS.
- e. The CEMO shall document movements of approved restoration funds across approved restoration projects by editing the Spend Plan figures in NETS for the midyear review.
- f. The CEMO shall document movements of restoration funds to approved EMI projects (or vice versa) by editing the Spend Plan in NETS after Headquarters approval.

5.3.3 Roles and Responsibilities

5.3.3.1 NASA Headquarters Environmental Management Division The Headquarters EMD is responsible for:

- a. Approving or disapproving projects nominated in NETS by the CEMO.
- b. Programming approved projects in NETS for funding priority.
- c. Verifying that Center/Component Facility proposed Spend Plans in NETS correspond to guideline amounts.
- d. Approving or disapproving over guideline requests in NETS.

5.3.3.2 NASA Center/Component Facility Environmental Management Office

The CEMO is responsible for:

- a. Determining which new projects to enter into NETS, the funding priorities for projects already in NETS, and which ECR projects to close in NETS.
- b. Submitting the draft Spend Plan via NETS and editing the draft to reflect the final Spend Plan Agreement for the new fiscal year.
- c. Editing the final Spend Plan in NETS for the midyear review to document any movements of funds across approved restoration projects.
- d. Editing the final Spend Plan in NETS to document movement of funds from restoration to EMI projects (or vice versa) as approved by the Headquarters EMD.
- e. Opening new project records in NETS and supplying all required information.
- f. Basing the cost estimate for restoration projects in NETS on IDEAL.
- g. Entering the final part of the project WBS after the Headquarters EMD has approved the project.
- h. Adjusting the cost estimate in NETS to conform whenever the IDEAL cost estimate for a restoration project changes.

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